

Practitioner's Docket No. 3287

**PATENT**

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**COMBINED DECLARATION AND POWER OF ATTORNEY**

(ORIGINAL, DESIGN, NATIONAL STAGE OF PCT, SUPPLEMENTAL, DIVISIONAL,  
CONTINUATION, OR C-I-P)

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As a below named inventor, I hereby declare that:

**TYPE OF DECLARATION**

This declaration is for an original application.

**INVENTORSHIP IDENTIFICATION**

My residence, post office address and citizenship are as stated below, next to my name. I believe that I am an original, first and joint inventor of the subject matter that is claimed, and for which a patent is sought on the invention entitled:

**TITLE OF INVENTION**

TRADING SYSTEM CONTROLLER

**SPECIFICATION IDENTIFICATION**

The specification is attached herewith.

**ACKNOWLEDGMENT OF REVIEW OF PAPERS AND DUTY OF CANDOR**

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information, which is material to patentability as defined in 37, Code of Federal Regulations, § 1.56.

## POWER OF ATTORNEY

I hereby appoint the following practitioner(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Raymond P. Niro	Registration No. 24,131
Thomas G. Scavone	Registration No. 26,801
Timothy J. Haller	Registration No. 26,692
Joseph N. Hosteny	Registration No. 28,020
Robert A. Vitale, Jr.	Registration No. 32,319
John C. Janka	Registration No. 32,996
Michael P. Mazza	Registration No. 34,092
Dean D. Niro	Registration No. 36,881
Keith A. Vogt	Registration No. 37,252
Arthur A. Gasey	Registration No. 35,150
Robert P. Greenspoon	Registration No. 40,004
Christopher J. Lee	Registration No. 41,934
Richard B. Megley, Jr.	Registration No. 41,992
Vasilios D. Dossas	Registration No. 30,745

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### SEND CORRESPONDENCE TO

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 Niro, Scavone, Haller & Niro  
 181 West Madison Street Suite 4600  
 Chicago, IL 60602

### DIRECT TELEPHONE CALLS TO:

Michael P. Mazza  
 (312) 236-0733

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## DECLARATION

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**SIGNATURE(S)**

**Inventor's signature**

Thomas C. Meyer

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Attorney Docket No. 3287

## SIGNATURE(S)

Thomas A. Mazza

Inventor's signature \_\_\_\_\_

Date \_\_\_\_\_

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James X. Maude

Inventor's signature \_\_\_\_\_

Date \_\_\_\_\_

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Residence Chicago, IL

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United States

Theodore F. Gradel

Inventor's signature \_\_\_\_\_

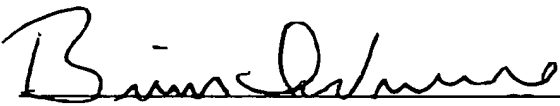
Date \_\_\_\_\_

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United States

Brian L. Saunders

Inventor's signature  \_\_\_\_\_

Date 12/7/00

Country of Citizenship United States

Residence Chicago, IL

Post Office Address 1767 N. Hoyne, Unit O  
~~Chicago, IL 60602~~  
United States

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Thomas A. Mazza et al.  
Application No.: New Application  
Filed on: Herewith  
Title: TRADING SYSTEM CONTROLLER

**STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(b)—INDEPENDENT INVENTOR**

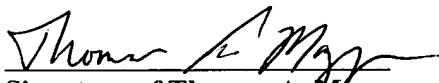
As a below named inventor, I hereby state that I qualify as an independent inventor, as defined in 37 CFR 1.9(c), for purposes of paying reduced fees to the United States Patent and Trademark Office under Sections 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office, with regard to the invention described in the specification filed herewith, with title as listed above.

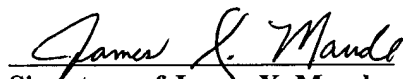
I have not assigned, granted, conveyed or licensed, and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c), if that person had made the invention, or to any concern that would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

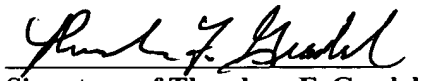
No person, concern or organization exists to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

  
Signature of Thomas A. Mazza  
Dated: 12/8/00

  
Signature of James X. Maude  
Dated: 12/08/00

  
Signature of Theodore F. Gradel  
Dated: 12/8/00

\_\_\_\_\_  
Signature of Brian L. Saunders  
Dated: \_\_\_\_\_

Practitioner's Docket No. 3287

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Thomas A. Mazza et al.  
Application No.: New Application  
Filed on: Herewith  
Title: TRADING SYSTEM CONTROLLER

**STATEMENT CLAIMING SMALL ENTITY STATUS**  
**(37 CFR 1.9(f) and 1.27(b)—INDEPENDENT INVENTOR**

As a below named inventor, I hereby state that I qualify as an independent inventor, as defined in 37 CFR 1.9(e), for purposes of paying reduced fees to the United States Patent and Trademark Office under Sections 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office, with regard to the invention described in the specification filed herewith, with title as listed above.

I have not assigned, granted, conveyed or licensed, and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(e), if that person had made the invention, or to any concern that would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

No person, concern or organization exists to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention.

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Signature of Thomas A. Mazza  
Dated: \_\_\_\_\_

Signature of Theodore F. Gradel  
Dated: \_\_\_\_\_

Signature of James X. Maude  
Dated: \_\_\_\_\_

Signature of Brian L. Saunders  
Dated: 12/8/00